

Advisor for Management

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[REDACTED]

Analysis of the Case Control and Statistical Reporting Procedures in the Security Division of the Inspection and Security Office.

1. In connection with the procedural survey that is being made of the Inspection and Security Office, a special study was conducted of the case control and statistical reporting procedures in the Security Division. This phase of the survey was made at the request of the Deputy Security Officer, CIA, to determine the possible application of punched-card methods in order to simplify the case control procedures and to facilitate the production of statistical reports in the Inspection and Security Office. Also at the request of the Assistant Deputy Director (Administration - General) an analysis was made of the reporting procedures pertaining to security clearances in the Personnel Offices, Machine Records Branch, Administrative Services Office, and Inspection and Security Office in order to obtain consistent monthly statistics from those Offices.
2. Based on this analysis procedures for requesting and reporting security clearances were developed and implemented in accordance with a memorandum dated 16 August 1951, to the Personnel Director, Chief, Administrative Services, and Assistant Deputy (Inspection and Security), from the Advisor for Management, subject: Procedure for Requesting and Reporting Security Clearances. These procedures have solved many of the reporting problems. However, difficulties still occur which require considerable expenditure of time and effort by personnel of the Offices concerned to effect reconciliation of the monthly security clearances statistics. In this connection, the validity of the Inspection and Security security clearance records has been accepted. The reconciliation difficulties which have been encountered could be eliminated if the Machine Records Branch received the necessary source documents directly from I&S since those documents would reflect the cases actually received and put into process by I&S.
3. An outline of the present manual procedures and proposed punched-card procedures in the Security Division, Inspection and Security Office, pertaining to the case control and statistical reporting of applicant type cases follows:

## **A. Findings**

### **(1) Manual Case Control and Statistical Reporting Procedures (See Flow Chart - Exhibit A)**

- (a) Upon receipt of Form No. 37-104, with Personal History Statement and allied papers in the [REDACTED] the following actions are taken:**

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- (1) Form No. 38-77, Case Control (Exhibit B), is prepared showing name, date received, office and type of case.**
- (2) The subject of the Case is then searched against the Chaindex after which the Personal History Statement is returned to the Control Desk. If there is no record in Chaindex, it is searched through Reference Index.**
- (3) A Case number is entered (new number assigned or previous number used if applicable) on Form No. 38-77 and it is filed alphabetically.**
- (4) The Case then goes to a processing clerk for preparation of Form No. 60-16, Cross Reference Slip, in quintuplicate (Exhibit C), Chaindex Tab (Exhibit D), 3x5 Reference Slip, in duplicate (Exhibit E), and File Jacket with Charge Jacket showing name and number.**
- (5) The Forms No. 60-16 are distributed as follows:**
  - (a) The white copy is filed alphabetically by type of employee concerned; viz., Regular, Contract, Consultant, Military and others, for statistical purposes.**
  - (b) The pink copy is forwarded to the Special Security Division for Clerk of Records.**
  - (c) The yellow copy is filed alphabetically in a pending file reflecting cases which have not been forwarded to the Special Security Division for investigation.**

- (4) The green copy is filed numerically in a location file.
  - (5) The blue copy is attached to the Jacket until the case is forwarded to the Special Security Division. It is then filed in a chronological file ("Case Out") for statistical purposes. When the Case is returned from the Special Security Division, it is removed from the "Chrono. Section" and placed in alphabetical order in a section marked "In Appraisal". After final action has been taken by the Security Division, this copy is then filed alphabetically in a section of the file marked "Closed". At the end of each month the blue copies are used to determine number and type of Cases closed and how closed.
  - (6) The Chaindex Tab is placed in the Chaindex File by inserting it in the appropriate alphabetical position. This is a time consuming operation and often involves removing the Tab on two or more cards in order to properly insert one Tab. Since the Chaindex Sections located in the Personnel Security Branch are almost filled, this now presents quite a problem. Two new Sections have been received, however, it will require considerable time to re-distribute the Chaindex Tabs. Only one person can operate a Chaindex Section therefore frequent backlogs occur. At the present time the Chaindex contains approximately 50,000 names and approximately 14,000 names are checked against it each month.
  - (7) The two 3x5 Reference Slips are placed in alphabetical order in the files.
- (b) In order to obtain the statistics for items 1 through 5, 10, 11 and 12 of the monthly report (Exhibit F), the following actions are taken:
- (1) At the end of each day the actions recorded on Form No. 98-77 and the blue copies of Form No. 60-16 are counted and entered on a work sheet (Exhibit G). In addition, appropriate entries are made in an NOD book and Finals (Approved) book.

- (2) The work sheet is used to prepare a daily report (Exhibit H).
- (3) At the end of each month the work sheet is used to prepare the monthly report.

B. Proposed Punched-Card Procedure (See flow Chart - Exhibit A)

(1) Control and Assignment of Security File Numbers

- (a) Requests for Security Clearance will be initiated by the Overt and Covert Personnel Divisions through the use in duplicate of Form No. 37-104, Request for Security Clearance. The name of the individual to be cleared will be taken from the Personal History Statement to assure the proper spelling of the individual's name.
- (b) One copy of the Form will be attached to the Personal History Statement and forwarded to the Reproduction Division, Administrative Services Office, in accordance with the procedures outlined in a memorandum to the Personnel Director, Chief, Administrative Services, and Assistant Deputy (Inspection and Security), subject: Procedure for Routing and Processing Security Requests, dated 26 July 1951. The second copy of the Form will be forwarded to the Control Clerk, Inspection and Security Office who will record its receipt by underlining the proper request number shown on a request number control sheet. All "second" copies will be held in numerical sequence until the corresponding "first" copies together with original and photostat copies of the Personal History Statement, are received from the Reproduction Division.
- (c) Upon receipt of the Forms and the Personal History Statements from the Reproduction Division, the Request Numbers will be recorded by drawing a line through the Request Number effected on the Request Number Control Sheet. A review of the Request Number Control Sheet will indicate at all times any missing Request Forms, and the number of Cases in the Reproduction Division. Any differences in the count of the number of Cases forwarded to the Inspection and Security Office by the Personnel Divisions and Cases opened by the Inspection and Security Office may also be reconciled through the use of this control record.

- (d) After the control record has been posted, the Form No. 37-104, with the Personal History Statements attached, will be grouped by the first letter of surname and forwarded to the Name Check Files. The Name Check File Clerk will determine if a Case has been previously established for an individual and, if so, will enter the Security File Number on the Form No. 37-104.
- (e) Upon completion of the Name Check, all Forms will be returned to the Control Clerk who will assign new Security File Numbers where necessary and then forward all Forms to the Key Punch Operator.

**(2) Key Punching and Machine Operations**

- (a) A tabulating card designed as a Form No. 36-77, Case Control, will be punched for each Form No. 37-104 (Exhibit I). The information which will be punched at this point will be:

Name  
Requesting Office  
Security File Number  
Request Number  
Request Date  
Type of Employee  
Type of Security Requested  
Date Received

(A printing key punch will be used for this operation and as the information is punched into the card, it is also printed at the top of the card permitting the Key Punch Operator to see the information being punched in the card.)

- (b) The punched and printed cards will be proofread and any errors corrected. This is an important operation since several additional records may subsequently be mechanically prepared from this card with the assurance that these records will be in agreement with the original record.
- (c) Upon completion of the punching and proofreading operations, the punched "Case Control" card will be used in the printing punch to automatically duplicate cards for the following records:

- (1) Name Check File Card (Exhibit I). (This Card will replace the present Chainindex insert.)
- (2) Machine Records Branch Card (Exhibit I). (This Card will be used for the Machine Records Branch security clearances file and to automatically print the name and security file number on Form No. 38-62, Reference Index in I&RS.)
- (d) The punched "Case Control" Cards will be filed alphabetically in the "Case Control" file.
- (e) As actions occur on each Case, the "Case Control" Card will be pulled from the file and the action and date recorded therein. The information which will be punched into and printed on the Card will include:
  - (1) Investigation Action
    - (a) Investigation Facility
    - (b) Date Forwarded
    - (c) Date Closed
    - (d) How Closed
    - (e) Type of Security Obtained
  - (2) Clearances Granted
    - (a) Provisional
      - 1 Type
      - 2 Date
    - (b) Limited
      - 1 Date
  - (3) Case Closed
    - (a) Final Action
    - (b) Date

- (f) The "Case Control" file having been established in punched-card form may be automatically analyzed at any time for status reports or special studies for IAS Management or for the Deputy Director (Administration). In obtaining these statistics, the entire Case Control file would be automatically reproduced in the Machine Records Branch; the Control Cards would be returned to IAS; and the reproduced Cards would be used to produce the required reports. Under this procedure, the Control Cards would always be under IAS control and would never be out of the IAS area for more than 30 minutes. In addition to any special reports, the control file will be tabulated on the 10th, 20th and 30th of each month. The reports on the 10th and 20th of the month will provide IAS Management with production status reports which it is believed would obviate the need for the daily reports now being compiled.
- (g) After the monthly reports have been completed, the Cards representing closed Cases will be removed from the control file and placed in a historical file. The priority for re-investigation will be punched in these cards.
- (h) In order to complete the installation of this procedure, the present Chairman file will be transferred to punched-cards. This job can be performed at the rate of 2,000 cards a day using one Key Punch Operator. In order to expedite the transfer, overtime and weekend work of several Key Punch Operators will be scheduled.

(3) Machine Records Branch Card

As stated in paragraph (2)(c) above, a Card for use in the Machine Records Branch will be duplicated from the Case Control Card and sent to the Machine Records Branch with a copy of the Form No. 37-104. There are several reasons why this procedure will be advantageous.

- (a) The Machine Records Branch will work from the same source documents as IAS and the discrepancy in monthly statistics which now exist will be eliminated thereby saving hours of work now being expended each month by IAS, Management, Machine Records and Personnel Office personnel, in reconciling statistics.

- (b) Errors due to a difference in the spelling of the names of individuals being cleared will be eliminated. This difficulty now results from I&S and Machine Records Branch preparing records from two different source documents. Corrections in name spelling found by I&S through their name check operations are not reflected in Machine Records Branch files under present procedures.
- (c) Thirty-seven columns of information punched in the Case Control Card are also punched in the Machine Records Branch Cards. By using the duplicate Card prepared by I&S, approximately half of the Machine Records Branch key punching time will be saved.
- (d) It will be a definite advantage in the reconciliation of monthly reports prepared by Machine Records Branch to have the Security File Number punched in the Machine Records Branch Cards. In case there is a difference between the totals obtained from the Machine Records Branch and I&S Cards, it can be quickly reconciled by automatically matching the two sets of Cards by Case Master. This operation will serve as a control over the completeness of both the Machine Records Branch and I&S records.

#### (4) Costs and Savings

The cost of operating the punched-card procedure will be less than the present manual procedure as evidenced by the following table of the major items of costs.

#### Monthly Cost for Processing 700 Cases

##### Present Procedure

##### 1. Machine Costs

a. None

##### 2. Supplies

a. 700 Chainindex Tabs	\$3.15
b. 700 Panfold Forms	8.40
c. 700 Case Control Cards	2.45
	<u>\$14.00</u>

##### Proposed Procedure

##### 1. Machine Costs

a. Rental of 1 Printing Punch	\$55.00
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##### 2. Supplies

a. 700 IBM Cards	.70
b. None	
c. 1100 IBM Cards	.70
	<u>\$ 1.40</u>



**3. Clerical**

<u>Description</u>	<u>Min. Per Day</u>
a. Type Case Control Card	85
b. Type Chainex Tube	8
c. File Chainex Tube	38
d. File Case Control Card	28
e. Post Case Control Card	305
f. Type Fanfold	57
g. Post Fanfold	76
h. File and Distribute Fanfold	12
i. Type Reference Index	20
j. File Reference Index	38
k. Maintain Daily Counts	30
l. Prepare Daily and Monthly Report	30
m. Daily and Monthly RCP Log	145
n. Daily and Monthly Finance Log	180
o. Compute Number Days	15
Total Minutes	1067
Total Clerks	2.2
Cost	\$712.20*

**3. Clerical**

<u>Description</u>	<u>Min. Per Day</u>
a. Punch and post IBM Cards	20
b. Automatic	
c. File IBM Cards	28
d. File Case Control Card	28
e. Post Case Control Card	305
f. Eliminated	
g. Eliminated	
h. Eliminated	
i. Automatic	
j. File Reference Index	38
k. None	
l. None	
m. Automatic	
n. Automatic	
o. Automatic	
Total Minutes	411
Total Clerks	.9
Cost	\$209.53*

\*Average wage for two pay periods of GS-4 and GS-5 amounts to \$232.62.

Time and costs of Machine Records Branch personnel has not been included since clerical time saved by the proposed procedure offsets Machine Operator time.

A summary of the above monthly costs is as follows:

<u>Present Personnel</u>	<u>Proposed Personnel</u>
Machine - \$ --	Machine - \$ 55.00
Supplies - 14.00	Supplies - 1.40
Clerical - 514.82	Clerical - 202.51
<u>\$528.82</u>	<u>\$268.91</u>

On the basis of the above costs, savings of \$260.91 a month or \$3,123.24 a year would be realized.

#### (5) Advantages

In addition to dollar savings, and perhaps more important, the advantages outlined below will be realized:

- (a) The Request Number Control will provide a means for determining that all Forms No. 37-104 and Personnel History Statements initiated by the Personnel Office have been received, which Forms are in process in the Registration Division, and which Forms have not been received and may have been misdirected.
- (b) The Name Check operation will be expedited through more uniform records and a faster means of maintaining the Name Check File on a current basis.
- (c) The responsibility for preparing security clearance statistics would be centralized in ISG where it rightfully belongs.
- (d) The monthly statistical reports prepared by ISG and the Machine Records Branch will be prepared more expeditiously and time now consumed each month by Personnel, Management, Machine Records and ISG personnel in a reconciliation operation would be reduced to a minimum. The costs occasioned by need to reconcile these reports have not been figured but they are considerable.

- (e) All items included in statistical reports or special studies can be supported by automatically preparing lists of the names and security file numbers of Cases included in each item.
- (f) The names and security file numbers shown on Name Check, Case Control and Reference Cards will always be in complete agreement.
- (g) As a result of transferring the Chaindex Tubs to tabulating cards, any differences that may now exist between names included in the Chaindex and Reference Files can be reconciled.
- (h) An effective and automatic means of ensuring the re-investigation of Cases on a scheduled basis will be provided.
- (i) The preparation of Budget Estimates will be simplified.
- (j) An automatic means will be provided for analyzing the closed case file to determine data for supervisory, control, and planning purposes.

**C. Recommendations:**

- (1) In view of the above savings and advantages to be derived from the application of the punched-card methods to the control and statistical procedures it is recommended that such punched-card procedures be installed in the Personnel Security Branch of the Security Division, Inspection and Security Office.

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**Enclosures: Exhibits A, B, C, D, E, F, G,  
H, I**

**COMMENTS:**

**Inspection and Security Office**

**Personnel Office**

**Administrative Services Office**